

1
2
3
4
5
6
7
8
9

**STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION**

IN THE MATTER OF DETERMINING
Whether there has been a violation
of the Securities Act of Washington by:

JAMES B. GOODROW,

Respondent.

S-02-300-02-CO01

CONSENT ORDER AND ORDER VACATING
SDO-100-02

Case No. 02-05-200/S-02-300

10 On November 5, 2002, the Securities Division, Department of Financial Institutions, State of
11 Washington (the "Securities Division"), issued STATEMENT OF CHARGES AND NOTICE OF
12 INTENT TO ISSUE AN ORDER SUSPENDING SALESPERSON AND INVESTMENT ADVISER
13 REPRESENTATIVE REGISTRATION SDO-100-02 (hereinafter referred to as the "Statement of
14 Charges") against Respondent James B. Goodrow ("Goodrow"). The Securities Division and
15 Respondent Goodrow do hereby agree to this Consent Order in settlement of the above captioned matter.
16 The Securities Division has, in the Statement of Charges as amended, made certain allegations and
17 conclusions, set forth under the headings "Tentative Findings of Fact" and "Conclusions of Law."
18 Respondent Goodrow neither admits nor denies the Tentative Findings of Fact and Conclusions of Law
19 which are hereby incorporated by reference into this consent order.

20 ///

21 ///

22 ///

23 CONSENT ORDER AND ORDER VACATING
24 SDO-100-02

1

DEPARTMENT OF FINANCIAL INSTITUTIONS
Securities Division
PO Box 9033
Olympia, WA 98507-9033
360-902-8760

25

1 **CONSENT ORDER**

2 Based upon the foregoing,

3 IT IS AGREED AND ORDERED that Goodrow's securities salesperson and investment adviser
4 representative licenses shall be suspended for a period of 5 (five) days. Such suspension shall be
5 effective from December 23, 2002 through December 27, 2002.

6 IT IS FURTHER AGREED that Goodrow shall reimburse the Securities Division One Thousand
7 Dollars (\$1,000) for its costs incurred in its investigation of this matter. Said payment is to be made to
8 the Division prior to the entry of this Consent Order.

9 IT IS FURTHER AGREED AND ORDERED that Goodrow shall pay a fine in the amount of
10 One Thousand Five Hundred Dollars (\$1,500). Said payment is to be made to the Division prior to the
11 entry of this Consent Order.

12 IT IS FURTHER AGREED that the Securities Division has jurisdiction to enter this Consent
13 Order.

14 In consideration of the foregoing, Respondent Goodrow waives his right to a hearing on this
15 matter and to judicial review of this matter pursuant to RCW 21.20.440 and Chapter 34.05 RCW, and the
16 Securities Division hereby vacates Statement of Charges SDO-100-02 except to the extent that the
17 Tentative Findings of Fact and Conclusions of Law have been incorporated herein.

18 ///

19 ///

20 ///

21 ///

22 ///

1 DATED this _____ day of _____, 2002.

2 Approved for entry by:

3
4 _____
Kenneth J. Evans
5 WSBA #5611
Lewis, Evans & Pollino
6 Attorney for James B. Goodrow

7 Signed by:

8
9 _____
James B. Goodrow
10 -----

11 **THIS ORDER ENTERED THIS 5th DAY OF December, 2002 BY:**

12
13 

14 _____
DEBORAH R. BORTNER
15 Securities Administrator

16 Approved for entry by:

17
18 _____
Michael E. Stevenson
19 Chief of Enforcement

20 Presented by:

21
22 _____
Chad Standifer
23 Staff Attorney

24 CONSENT ORDER AND ORDER VACATING
SDO-100-02